

# *Socializing PAGES*

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U.S. DEPARTMENT OF  
**ENERGY**

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Science

# Implementation of Public Access Requirements/PAGES and Author Communities

- In August 2014, a beta version of PAGES was ‘launched’ publicly (<http://www.osti.gov/pages/>).
- DOE, per its Public Access Plan (<http://energy.gov/downloads/doe-public-access-plan>), would take a 12 month period to socialize PAGES and the DOE author requirements within its DOE-funded author communities.
- **DOE’s author communities consist of two types primarily** – Researchers at laboratories (supported by way of contracts) and researchers at universities (supported by way of federal grants).

## Questions to address:

- How are we requiring AMs for both communities?
- How is DOE socializing the requirements for AMs within each of these communities? What have we done, are doing, and plan to do?

# Requirements: Grantees

## How do we require Accepted Manuscripts (AMs) from our grantees?

- Final Peer-Reviewed AMs are required per the DOE Special Terms & Conditions which specify scientific and technical information (STI) that is to be made available to DOE. Requirements are included in DOE grants and cooperative agreements.
- Federal regulations (10 CFR §600.136 (DOE) and 2 CFR § 200.315 (Federal-wide) (b)(d)) - Intangible property gives the Federal government rights to data produced under an award (this includes STI/AMs).

### From 2 CFR 200

(b) The non-Federal entity may copyright any work that is subject to copyright and was developed, or for which ownership was acquired, under a Federal award. The Federal awarding agency reserves a royalty-free, nonexclusive and irrevocable right to reproduce, publish, or otherwise use the work for Federal purposes, and to authorize others to do so.

(d) The Federal government has the right to:

(1) Obtain, reproduce, publish, or otherwise use the data produced under a Federal award; and

(2) Authorize others to receive, reproduce, publish, or otherwise use such data for Federal purposes.

# Requirements: Grantees

- The requirements for STI (including AMs) are referred to in Funding Opportunity Announcements by way of 'Reporting Requirements,' and are identified in Awards (started October 1, 2014). The Office of Management, Procurement Policy, sets the DOE Special terms and Conditions and reporting requirements and publishes them on their website:
- Terms and Conditions: <http://energy.gov/management/downloads/special-terms-and-conditions-use-most-grants-and-cooperative-agreements>  
(Refer to STI Reporting Requirements)
- Reporting Requirements: <http://energy.gov/management/downloads/federal-assistance-reporting-checklist-and-instructions-projects>

DOE F 4600.2  
(10/2014)  
All Other Editions Are Obsolete

**U.S. Department of Energy  
FEDERAL ASSISTANCE REPORTING CHECKLIST  
AND INSTRUCTIONS**

1. Identification Number: [Redacted]		2. Program/Project Title: [Redacted]	
3. Recipient: [Redacted]			
4. Reporting Requirements:		Frequency	Addressees
<b>A. MANAGEMENT REPORTING</b> <input type="checkbox"/> Research Performance Progress Report (RPPR) (RD&D Projects) <input type="checkbox"/> Progress Report (Non-RD&D Projects) <input type="checkbox"/> Special Status Report			
<b>B. SCIENTIFIC/TECHNICAL REPORTING</b> (Dissemination of results is required for RD&D projects. Reports &			<a href="https://www.fedconnect.net/fedconnect/default.aspx">https://www.fedconnect.net/fedconnect/default.aspx</a> <a href="https://www.fedconnect.net/fedconnect/default.aspx">https://www.fedconnect.net/fedconnect/default.aspx</a> <a href="https://www.fedconnect.net/fedconnect/default.aspx">https://www.fedconnect.net/fedconnect/default.aspx</a>

# Socialization: Grantees

## How is DOE socializing the requirements for AMs within the grantee community?

- DOE Financial Assistance Recipients webpages now contain references to the AM requirements so that potential researchers can see what the requirements are, and how to submit their AMs.
- Through Federal Assistance Guidance, staff at the Awarding Offices are made aware of the requirements and are provided guidance to ensure that the requirements are included in Awards that are for Research and Development. This is in progress.
- FAQs on the OSTI PAGES homepage provides guidance to researchers and answers to frequently asked questions which are updated based on ongoing 'community' feedback received. <http://www.osti.gov/pages/about>

# Socialization: Grantees

## Things to consider...

- Through the Program Technical Information Officers (TIOs), such as Laura Biven for Office of Science, outreach tools are being considered at the program level which include new website items, materials that PMs may use with their researchers, notifications about requirements through SC corporate systems (PAMS), language to include in letters to grantees, and briefings to advisory groups.
- Other efforts are being considered on the ingest side to make it as easy as possible for grantees to submit their manuscripts. Efforts have been made to make submitting manuscripts as easy as other forms of STI using E-Link, and now if the AM has a DOI, researchers will have less to enter when providing metadata about the publication.

## Ongoing...

- We will continue to receive feedback via [pagesfeedback@osti.gov](mailto:pagesfeedback@osti.gov) so that questions can be effectively addressed and we will continue to work with our STI Information Community as we continue the socialization efforts through the 'beta' period.

# Requirements and Socialization: Laboratories

## Office of Science Laboratories

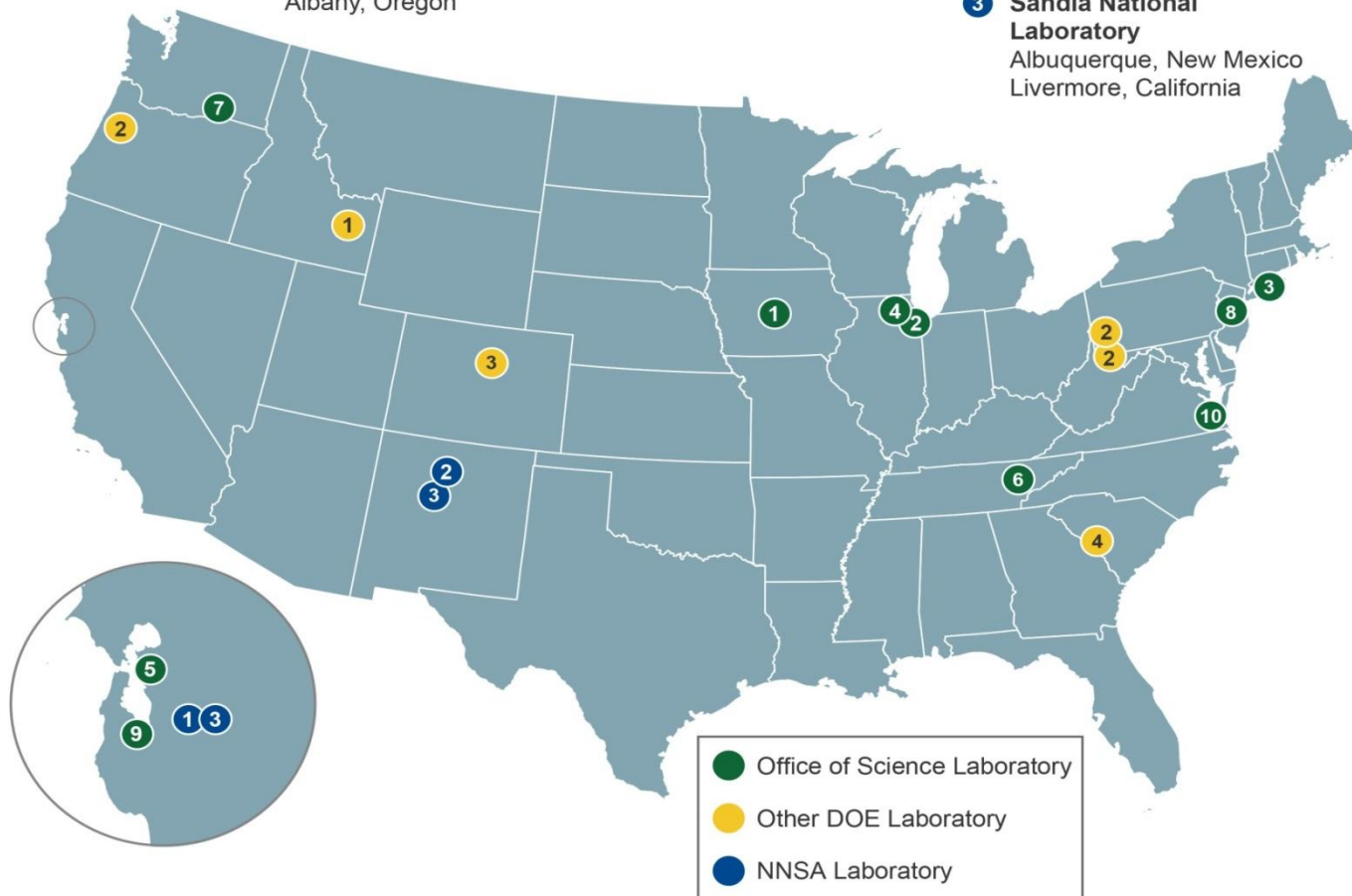
- 1 Ames Laboratory  
Ames, Iowa
- 2 Argonne National Laboratory  
Argonne, Illinois
- 3 Brookhaven National Laboratory  
Upton, New York
- 4 Fermi National Accelerator Laboratory  
Batavia, Illinois
- 5 Lawrence Berkeley National Laboratory  
Berkeley, California
- 6 Oak Ridge National Laboratory  
Oak Ridge, Tennessee
- 7 Pacific Northwest National Laboratory  
Richland, Washington
- 8 Princeton Plasma Physics Laboratory  
Princeton, New Jersey
- 9 SLAC National Accelerator Laboratory  
Menlo Park, California
- 10 Thomas Jefferson National Accelerator Facility  
Newport News, Virginia

## Other DOE Laboratories

- 1 Idaho National Laboratory  
Idaho Falls, Idaho
- 2 National Energy Technology Laboratory  
Morgantown, West Virginia  
Pittsburgh, Pennsylvania  
Albany, Oregon
- 3 National Renewable Energy Laboratory  
Golden, Colorado
- 4 Savannah River National Laboratory  
Aiken, South Carolina

## NNSA Laboratories

- 1 Lawrence Livermore National Laboratory  
Livermore, California
- 2 Los Alamos National Laboratory  
Los Alamos, New Mexico
- 3 Sandia National Laboratory  
Albuquerque, New Mexico  
Livermore, California



#### Office of Science Laboratories

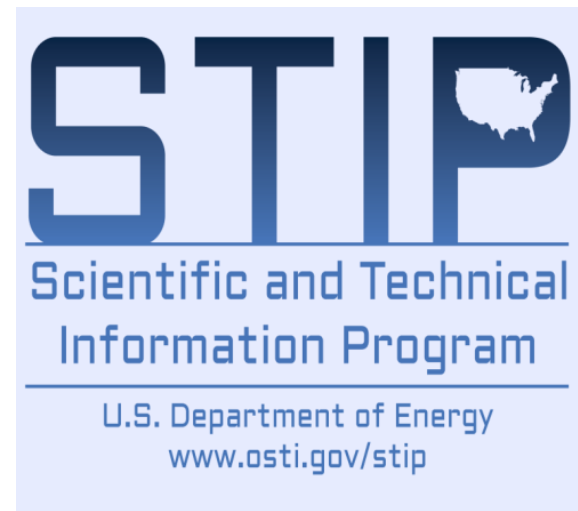
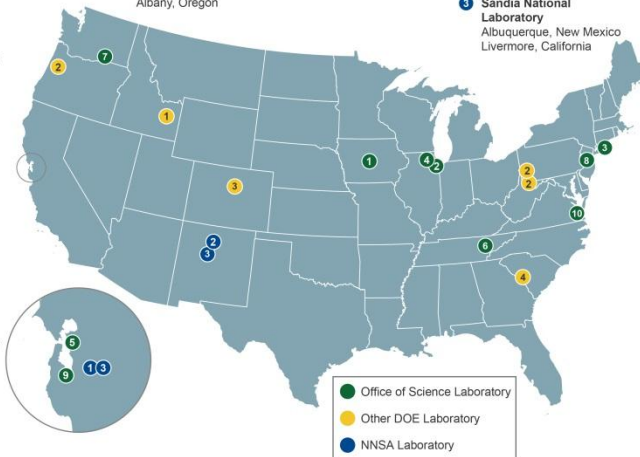
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Argonne, Illinois
- 3 Brookhaven National Laboratory  
Upton, New York
- 4 Fermi National Accelerator Laboratory  
Batavia, Illinois
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- 3 Sandia National Laboratory  
Albuquerque, New Mexico  
Livermore, California



## DOE's Scientific and Technical Information Program (STIP)

- Long-standing, complex-wide collaboration with contacts across DOE programs, field offices, **national laboratories**, and contractors to disseminate and preserve the Department's scientific and technical information (STI).
- Key to DOE's Public Access Plan as pertains to extension of scholarly publications as STI.
- Labs' management structure and approaches unique; STIP provides continuity and infrastructure.



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# Requirements and Socialization: Laboratories

- DOE's Directive for Scientific and Technical Information Management (DOE O 241.1B) includes Contractor Requirements Document and is cited in prime contracts for management of DOE laboratories. 241.1B includes manuscripts as a form of STI.
- Through STIP, communication on Public Access began with issuance of the OSTP memo and continued as DOE worked to finalize its Public Access Plan.
- Majority of labs represented at Spring Annual STIP Working Meetings, at which Public Access a major focus, and feedback is discussed.
- Communication tools for STIP community include bi-monthly conference calls, ad-hoc emails, and site specific discussions.
- Information also shared with DOE's National Laboratory Library Coalition and other key groups.
- Author Pilot Discussions held with several labs to speak directly with authors and understand their interactions with publishers' submission processes.
- Site visits and webinars conducted to share information and address questions.

# Socialization: Laboratories

- In addition to labs, outreach and communications with Program Technical Information Officers (TIOs), as well as Intellectual Property Counsel and Procurement POCs is ongoing.
- The STIP website remains to be an important resource for key documents, communications and an expanding list of FAQs.

<http://www.osti.gov/stip/publicaccessfaqs>

*Example FAQ: I'm a researcher at a DOE national laboratory and have just had a manuscript accepted for publication in a peer-reviewed journal; what do I need to do in order to comply with DOE's public access requirements?*

- Questions routinely fielded from sites, engaging IP Counsel as needed.
- Knowledge is leveraged
  - STIP Working Group formed to share information on Copyright Transfer Agreements required for publication and changes noted in publishers' terminology or costs.
  - Site specific presentations/notifications/newsletters shared for other sites' information and use.
- Accepted Manuscripts to be incorporated in OSTI's STI stats reporting to sites beginning in Jan 2015.

# PAGES Socialization

Socialization and Outreach is ongoing.  
Suggestions and thoughts are welcome.  
[Joanna.martin@science.doe.gov](mailto:Joanna.martin@science.doe.gov).

Thank You!

Questions?